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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

2712
2612
#22

| | | | |
|---|---|------------------------|------------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Submission No. | 09/412,993 |
| | | Filing Date | October 5, 1999 |
| | | First Named Inventor | Layne Britton |
| | | Group Art Unit | 2712 |
| | | Examiner Name | Not yet assigned |
| Total Number of Pages in This Submission | 9 | Attorney Docket Number | 3099P017 |

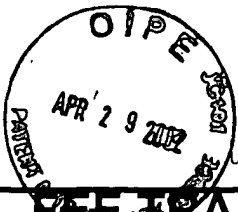
| ENCLOSURES (check all that apply) | | |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">-copies of 22 cited references -return receipt postcard</div> |
| Remarks | | |
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| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|--|
| Firm or Individual name | Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature | |
| Date | April 24, 2002 |

| CERTIFICATE OF MAILING/TRANSMISSION | | | |
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| Typed or printed name | Catherine D. Louthan | | |
| Signature | | Date | April 24, 2002 |

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OFFICE OF PETITIONS



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FEES TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number 09/412,993
Filing Date October 5, 1999
First Named Inventor Layne Britton
Examiner Name Not yet assigned
Group/Art Unit 2712
Attorney Docket No. 3099P017

METHOD OF PAYMENT (check one)

- ☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of the application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 740 | 201 | 370 | Utility filing fee | |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | (\$) |

2. EXTRA CLAIM FEES

Total Claims = X =
Independent Claims = X =
Multiple Dependent =

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 | |
| 104 | 280 | 204 | 140 | Multiple Dependent claim, if not paid | |
| 109 | 84 | 209 | 42 | **Reissue independent claims over original patent | |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | | | (\$) |

*or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920 * | 112 | 920 * | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840 * | 113 | 1,840 * | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) Gregory D. Caldwell

Registration No. 39,926
(Attorney/Agent)

Telephone (503) 684-6200

Signature

Date

04/24/02

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Docket No.: 3099P017

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

LAYNE BRITTON

Application No.: 09/412,993

Filed: October 5, 1999

For: **PROVIDING AUDIENCE FLOW IN A
PERSONAL TELEVISION DEVICE**

Art Group: 2712

Examiner: Not yet assigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).


The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

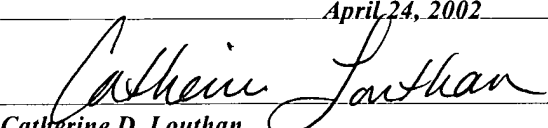
Date: April 24, 2002



Gregory D. Caldwell, Reg. No. 39,926

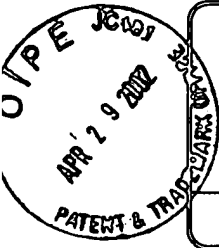
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(503) 684-6200

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April 24, 2002


Catherine D. Louthan
04-24-02
Date

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| Substitute for form 1449A/PTO <h2 style="text-align: center; margin: 10px 0;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center; margin: 0;">(use as many sheets as necessary)</p> | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: right; padding: 5px;"><i>Complete if Known</i></th> </tr> <tr> <td style="width: 50%; padding: 5px;">Application Number</td> <td style="padding: 5px;">09/412,993</td> </tr> <tr> <td style="padding: 5px;">Filing Date</td> <td style="padding: 5px;">October 5, 1999</td> </tr> <tr> <td style="padding: 5px;">First Named Inventor</td> <td style="padding: 5px;">Layne Britton</td> </tr> <tr> <td style="padding: 5px;">Group Art Unit</td> <td style="padding: 5px;">2712</td> </tr> <tr> <td style="padding: 5px;">Examiner Name</td> <td style="padding: 5px;">Not yet assigned</td> </tr> <tr> <td style="padding: 5px;">Attorney Docket Number</td> <td style="padding: 5px;">3099P017</td> </tr> </table> | | <i>Complete if Known</i> | | Application Number | 09/412,993 | Filing Date | October 5, 1999 | First Named Inventor | Layne Britton | Group Art Unit | 2712 | Examiner Name | Not yet assigned | Attorney Docket Number | 3099P017 |
|---|------------------|---|--|--------------------------|--|--------------------|------------|-------------|-----------------|----------------------|---------------|----------------|------|---------------|------------------|------------------------|----------|
| <i>Complete if Known</i> | | | | | | | | | | | | | | | | | |
| Application Number | 09/412,993 | | | | | | | | | | | | | | | | |
| Filing Date | October 5, 1999 | | | | | | | | | | | | | | | | |
| First Named Inventor | Layne Britton | | | | | | | | | | | | | | | | |
| Group Art Unit | 2712 | | | | | | | | | | | | | | | | |
| Examiner Name | Not yet assigned | | | | | | | | | | | | | | | | |
| Attorney Docket Number | 3099P017 | | | | | | | | | | | | | | | | |

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| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-----------------------|-------------------------|---------------------|--------------------------------------|---|---|---|----|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T* |
| | | Office ² | Number ⁴ | Kind Code ³ (if known) | | | | |
| | 2 | | WO 00/58833 | A1 | Beach, et al. | 10-05-2000 | | |
| | 3 | | WO 01/06370 | A1 | Barton, et al. | 01-25-2001 | | |
| | 4 | | WO 01/22729 | A1 | Barton, et al. | 03-29-2001 | | |
| | 5 | | WO 00/28736 | A1 | Barton, et al. | 05-18-2000 | | |
| | 6 | | WO 00/62298 | A1 | Vallone, et al. | 10-19-2000 | | |
| | 7 | | WO 00/58967 | A1 | Brown, et al. | 10-05-2000 | | |
| | 8 | | WO 00/18108 | A2 | Barton, James M. | 03-30-2000 | | |
| | 9 | | WO 01/47249 | A2 | Beach, et al. | 06-28-2001 | | |
| | 10 | | WO 00/62299 | A1 | Vallone, et al. | 10-19-2000 | | |
| | 11 | | WO 00/65233 | A1 | Look, et al. | 10-19-2000 | | |

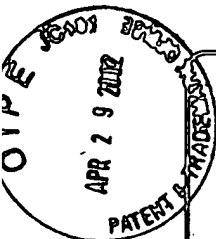
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| Examiner Signature | Date Considered |
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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of

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| Application Number | 09/412,993 |
| Filing Date | October 5, 1999 |
| First Named Inventor | Layne Britton |
| Group Art Unit | 2712 |
| Examiner Name | Not yet assigned |
| Attorney Docket Number | 3099P017 |

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS | | | | | | | |
|--------------------------|--------------------------|-------------------------|---|--|--|--|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ² |
| | | Office ³ | Number ⁴ Kind Code ⁵ (if known) | | | | |
| | 12 | | WO 01/47238 | A2 | Beach, et al. | 06-28-2001 | |
| | 13 | | WO 00/67475 | A1 | Heaton, et al. | 11-09-2000 | |
| | 14 | | WO 01/46843 | A2 | Van Stam, Wijnand | 06-28-2001 | |
| | 15 | | WO 00/58834 | A1 | Barton, et al. | 10-05-2000 | |
| | 16 | | WO 01/47279 | A2 | Barton, James M. | 06-28-2001 | |
| | 17 | | WO 01/65762 | A2 | Platt, et al. | 09-07-2001 | |
| | 18 | | WO 99/52279 | A1 | Barton, James M | 10-14-1999 | |
| | 19 | | WO 00/07368 | A1 | Barton, et al. | 02-10-2000 | |
| | 20 | | WO 01/65862 | A2 | Barton, et al. | 09-07-2001 | |
| | 21 | | WO 01/89203 | A2 | Chamberlin, et al. | 11-22-2001 | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

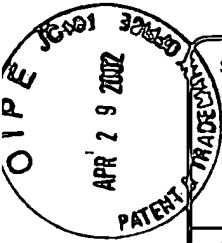
¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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[illegible][illegible]Date
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OTHER ART - NON PATENT LITERATURE DOCUMENTS

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¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

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